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EXPRESS MAIL CERTIFICATE

Date 5/19/01 Label 853601896-US

I hereby certify that, on the date indicated above, this paper or fee was deposited with the U.S. Postal Service & that it was addressed for delivery to the Assistant Commissioner for Patents, Washington, DC 20231 by "Express Mail Post Office to Addressee" service

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JC997 U.S. PTO  
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07278

PATENT TRADEMARK OFFICE

Docket No: 3109/1G960 US1

**DARBY & DARBY P.C.**

805 Third Avenue  
New York, New York 10022  
212-527-7700

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Enclosed please find an application for United States patent as identified below:

Inventor/s (name ALL inventors): Roger ALCALY; Timothy J. RUDDEROW;  
and Frank L. VANNERSON

Title: A METHOD AND SYSTEM FOR GENERATING  
AN INDEX OF INVESTMENT RETURNS

including the items indicated:

1. Specification and 33 claims: 16 indep.; 17 dep.;    multiple dep.;  
including 32 page(s) of written description; 18 page(s) of claims;  
1 page(s) of abstract.
2. ☒ Drawings, 3 sheets (Figs. 1-3)
3. ☒ Executed Declaration/Power of Attorney  
☐ Unexecuted Declaration/Power of Attorney
4. ☐ Application Data Sheet under 37 C.F.R. §1.76.

5. ☒ Assignment for recording to: Mount Lucas Management Corp. ✓

☐ Assignment was recorded at Reel No. , Frame No. , on .

☒ Pursuant to 37 C.F.R. §1.215(b), please print the following assignment information on the face of the published application:

Assignee: Mount Lucas Management Corp.

6. ☒ The applicant claims small entity status.
7. ☒ Priority is claimed under 35 U.S.C. §119(b) of:

Country: USA  
Number: 60/202,790  
Date: May 9, 2000

A certified copy of the prior document ☐ is enclosed ☐ will follow ☒ was filed in a previous application.

8. ☐ Priority is claimed under 35 U.S.C. §119(e) of:

Number:  
Date:

A certified copy of the prior document ☐ is enclosed ☐ will follow ☐ was filed in a previous application.

9. ☐ Request and Certification under 35 U.S.C. §122(b)(2)(B)(i) for Nonpublication.
10. ☒ Payment in amount of \$1032.00, (\$992 filing; \$40 recording)  
in the form of  
☒ check  
☐ deposit account no. 04-0100  
☐ credit card (see attached form)  
(See attached **Fee Computation Sheet**)
11. ☐ Preliminary Amendment

12. ☐ Information Disclosure Statement
13. ☐ Nucleotide or Amino Acid Sequence Listing.

☐ Hard Copy      ☐ CRF

Date: May 9, 2001

Respectfully submitted,



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Chanah Brenenson  
Reg. No. 47,442  
Attorney for Applicant(s)

PATENT FEE COMPUTATION SHEET

	No. of Claims Presented	Extra Claims Previously Paid For	Number of Extra Claims	Rate
Basic Fee . . . . .				\$710.00
Total Claims	33 - 20	- 0 = 13	x \$18.00	\$234.00
Independent Claims	16 - 3	- 0 = 13	x \$80.00	\$1040.00
Multiple Dependent Claims		- if so, add	\$270.00	\$0.00
Surcharge for late submission of filing fee and/or declaration (\$130.00)				\$0.00
SUBTOTAL . . . . .				\$1984.00
[X] Small Entity REDUCTION (Half of Subtotal) . . . . .				\$992.00
Fee for recordation of assignment (\$40.00) . . . . .				\$40.00
Charge for filing non-English language application (\$130.00) . . . . .				\$0.00
TOTAL . . . . .				\$1032.00

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